



2151  
#5  
ST  
11-28-03

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**IN RE PATENT APPLICATION OF: Wu et al.**

**OUR FILE NO: 78036  
20-3 US**

**SERIAL NUMBER: 09/981,048**

**GROUP: 2151**

**FILED: 10/16/2001**

**EXAMINER: Unassigned**

**TITLE: COMPACT OPTICAL MULTIPLEXER/DEMULTIPLEXER**

**CONFIRMATION NO: 6795**

**RECEIVED**

**NOV 26 2003**

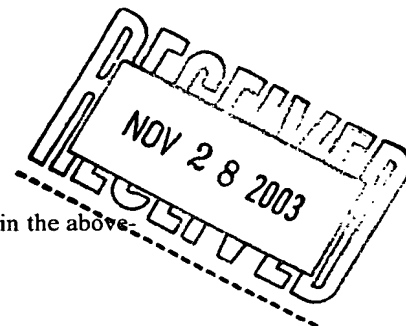
**Technology Center 2100**

**Information Disclosure Statement**

**Mail Stop Non-Fee Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450**

Dear Sir:

Transmitted herewith is an Information Disclosure Statement (Form PTO-1449) in the above-captioned application with references.



**Certification**

\_\_\_\_\_ This Information Disclosure Statement is submitted within three months of:

- (i) the filing date of the above-identified U.S. National Patent application, or
- (ii) the date of entry into the U.S. National Stage of the above-identified International Application, or
- (iii) the date of entry into the U.S. National Stage of the International Application that has been assigned the above-identified U.S. Patent application number, whichever applies.

X\_\_\_\_\_ This Information Disclosure Statement is submitted prior to the mailing date of the first Office Action on the merits received by Applicant in the above-identified application.

\_\_\_\_\_ This Information Disclosure Statement is submitted after three months from

- (i) the filing date of the above-identified U.S. National Patent application, or
- (ii) after three months from entry into the U.S. National Stage of the above-identified International Application; or
- (iii) the date of entry into the U.S. National Stage of the International Application that has been assigned the above-identified U.S. Patent application number, whichever applies; and after the mailing date of the first Office Action on the merits of the above-identified application, but prior to issuance of the earlier of any Final Action or Notice of Allowance sent in such application. The certification under 37 C.F.R. § 1.97(e) is submitted separately or below, or the fee required under 37 C.F.R. § 1.97(c) and § 1.17(p) is submitted herewith.

\_\_\_\_\_ This Information Disclosure Statement is submitted after the earlier of the mailing date of a final rejection or Notice of Allowance sent in this application but before payment of the Issue Fee. The certification required under 37 C.F.R. § 1.97(e) is submitted separately or below. A petition to the Commissioner and the appropriate fee pursuant to § 1.17(i) (1) are submitted herewith.

- \_\_\_\_\_ A certification under 37 C.F.R. §1.97 is submitted herewith separately from this paper.
- \_\_\_\_\_ It is hereby certified that each item of information contained in this statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.
- \_\_\_\_\_ No item of information contained in this statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned, after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of this statement.

Respectfully submitted,



Charles E. Wands

Registration No: 25,649

NOV 21 2003

Date: \_\_\_\_\_

1401 Citrus Centre  
255 South Orange Avenue  
Box 3791  
Orlando, Florida  
USA 32802-2791

Tel: (321) 725-4760  
Fax: (321) 984-7078

/mdb



<b>Form PTO 1449</b>  <b>U.S. Department of Commerce</b> <b>Patent and Trademark Office</b>  Information Disclosure Statement by Applicant	<b>ATTY. DOCKET NUMBER:</b> 78036 (20-3 US)	<b>SERIAL NUMBER:</b> 09/981,048
	<b>APPLICANT:</b> WU ET AL	
	<b>FILING DATE:</b> 10/16/2001	<b>GROUP:</b> 2151

**U.S. Patent Documents**

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILED APPE
		4,244,045	Jan 6, 1981	Nosu et al.	H04B	9/00	

**Foreign Patent Documents**

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO

**Other Documents (Including Author, Title, Date Pertinent Pages, Etc.)**

			<b>RECEIVED</b>
			<b>NOV 26 2003</b>
			<b>Technology Center 2100</b>
<b>EXAMINER</b>		<b>DATE CONSIDERED</b>	
<i>EXAMINER: Initial if citation is considered, whether or not citation is in conformance with MPEP 609; draw a line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant</i>			